

FORM U5 UNIFORM TERMINATION NOTICE FOR SECURITIES INDUSTRY REGISTRATION

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NOTICE TO THE INDIVIDUAL WHO IS THE SUBJECT OF THIS FILING

Even if you are no longer registered you continue to be subject to the jurisdiction of regulators for at least two years after your registration is terminated and may have to provide information about your activities while associated with this firm. Therefore, you must forward any residential address changes for two years following your termination date or last Form U5 amendment to: CRD Address Changes, P.O. Box 9495, Gaithersburg, MD 20898-9495.

1. GENERAL INFORMATION

First Name:

Middle Name:

LYNN

Firm CRD #:

Firm Name:

2936

GARY

THE O.N. EQUITY SALES COMPANY

Firm Billing Code: Individual CRD #:

2730640

Office of Employment Address Street 1:

11020 KING STREET, SUITE 325

City:

State:

OVERLAND PARK Kansas Last Name:

LANCASTER

CRD Branch #:

Firm NFA #:

Suffix:

Individual SSN: Individual NFA #:

REDACTED

Office of Employment Address Street 2:

Country:

Postal Code: 66210

USA

Private Residence Check Box:

If the Office of Employment address is a private residence, check this box. \Box

Rev. Formi U5 (06/2003)

Z. CURRENT RESIDENTIAL ADDRESS

NOTICE TO THE FIRM

This is the last reported residential address. If this is not current, please enter the current residential address.

From 170	Street	City	State	Country	Postal Code
12/2001 PRESENT	1382 LEIGH CT	WEST LINN	OR	USA	97068

Rev. Form U5 (06/2003)

3. FULL TERMINATION

Is this a FULL TERMINATION? ⊕Yes ⊖No

Note: A "Yes" response will terminate ALL registrations with all SROs and all jurisdictions.

Reason for Termination: * Other * Provide an explanation below

TERMINATED WITH PARENT COMPANY

EXHIBIT

R

https://crd.nasd.com/frm/u4u5/CRD_FRM_U4U5ViewHist.aspx?FR=0&RefNum=&form=U5&t... 12/19/2005

Web CRD - US and 3107-Eiling 8441USWions Dideting Meneu 7191es 1 Filed 4:171472007

	Rev. Form U5 (06/2003)
4. DATE OF TERMINATION	

Date Terminated (MM/DD/YYYY): 01/03/2005

A complete date of termination is required for full or partial termination. This date represents the actual date that the termination of registration is effective.

Rev. Farm U5 (06/2003)

6. AFFILIATED FIRM TERMINATION

No Information Filed

Rev. Form U5 (06/2003)

7. DISCLOSURE QUESTIONS

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IN SECTION 7 IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S). IF THE INFORMATION IN SECTION 7 HAS ALREADY BEEN REPORTED ON FORM U4 OR FORM U5, DO NOT RESUBMIT DRPS FOR THESE ITEMS. REFER TO THE EXPLANATION OF TERMS SECTION OF FORM US INSTRUCTIONS FOR EXPLANATION OF ITALICIZED WORDS.

. (43)	Investigation Disclosure					
		YES	NO			
TA.	Currently is, or at termination was, the individual the subject of an investigation or proceeding by a domestic or foreign governmental body or self-regulatory organization with jurisdiction over investment-related businesses? (Note: Provide details of an investigation on an Investigation Disclosure Reporting Page and details regarding a proceeding on a Regulatory Action Disclosure Reporting Page.)					
	Internal Review Disclosure					
		YES	NO			
7B.	Currently is, or at termination was, the individual under internal review for fraud or wrongful taking of property, or violating investment-related statutes, regulations, rules or industry standards of conduct?	0	(e)			
	Criminal Disclosure					
<u> </u>		YES	NO			
7C.	occurred while the individual was employed by of associated with your min, was the					
	individual:convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any felony?	O	(9)			
And address of the same	2. charged with any felony?	0	(
Control of the Contro	3. convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a misdemeanor involving: investments or an investment-related business, or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?	O	•			
	4. charged with a misdemeanor specified in 7(C)(3)?	0	<u>(6)</u>			
-	Regulatory Action Disclosure					

7 D.	D. While employed by or associated with your firm, or in connection with events that occurred while the individual was employed by or associated with your firm, was the individual involved in any disciplinary action by a domestic or foreign governmental body or self-regulatory organization (other than those designated as a "minor rule violation" under a plan approved by the U.S. Securities and Exchange Commission) with jurisdiction over the investment-related businesses? Customer Complaint/Arbitration/Civil Litigation Disclosure							
	Customer Complaint/Arbitration/Civil Litigation Disclose							
7E.	In connection with events that occurred while the individual was employ associated with your firm, was the individual named as a respondent/de investment-related, consumer-initiated arbitration or civil litigation which the individual was involved in one or more sales practice violations and	yed by or efendant in an challeged that	YES	NO				
	(a) is still pending, or;		O	0				
	 (b) resulted in an arbitration award or civil judgment against the indiverse regardless of amount, or; 	vidual,	0	()				
	(c) was settled for an amount of \$10,000 or more.	•	O	⊕ ∥				
	2. In connection with events that occurred while the individual was emplor associated with your firm, was the individual the subject of an investme consumer-initiated complaint, not otherwise reported under question 70 which alleged that the individual was involved in one or more sales practiculations, and which complaint was settled for an amount of \$10,000 cm.	ent-related, (E)(1) above, ctice or more?	Ö	(4)				
	3. In connection with events that occurred while the individual was emplo associated with your firm, was the individual the subject of an investme consumer-initiated, written complaint, not otherwise reported under que (1) or 7(E)(2) above, which:	ent-related, lestions 7(E)						
	(a) would be reportable under question 14I(3)(a) on Form U4, if the inverse still employed by your firm, but which has not previously be the individual's Form U4 by your firm; or	en reported on	0	•				
	(b) would be reportable under question 14I(3)(b) on Form U4, if the were still employed by your firm, but which has not previously be the individual's Form U4 by your firm.	Individual en reported on	0	6				
	Termination Disclosure							
7F.	F. Did the individual voluntarily resign from your firm, or was the individual dis permitted to resign from your firm, after allegations were made that accuse individual of:	scharged or d the	YES	NO				
	 violating investment-related statutes, regulations, rules or industry statutes conduct? 	andards of	0	•				
	fraud or the wrongful taking of property?		O	\odot				
And the second second	3. failure to supervise in connection with investment-related statutes, re- or industry standards of conduct?	gulations, rules	C	(e)				

	-	***************************************					••••
Re	v.	Form	U5	(06	/20	103)

8. SIGNATURE



Please Read Carefully

All signatures required on this Form U5 filing must be made in this section.

A "Signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

FIRM ACKNOWLEDGMENT

8A. This section must be completed on all U5 form filings submitted by the firm.

INDIVIDUAL ACKNOWLEDGMENT AND CONSENT

This section must be completed on amendment U5 form filings where the individual is submitting changes to Part II of the INTERNAL REVIEW DRP or changes to Section 2 (CURRENT RESIDENTIAL ADDRESS).

8A. FIRM ACKNOWLEDGMENT

I VERIFY THE ACCURACY AND COMPLETENESS OF THE INFORMATION CONTAINED IN AND WITH THIS FORM.

Person to contact for further information

TARA TERRELL

Telephone # of person to contact

513-794-6029

Signature of Appropriate Signatory

PAULINE JONES

Date (MM/DD/YYYY)

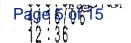
01/03/2005

Type or Print Name of Appropriate Signatory

	Rev. Form U5 (06/2003)
INVESTIGATION DRP	
No Information Filed	
	Rev. Form U5 (06/2003)
INTERNAL REVIEW DRP	
No Information Filed	
	Rev. Form U5 (06/2003)
CRIMINAL DRP	-
No Information Filed	
	Rev. Form U5 (06/2003)
TERMINATION DRP	
No Information Filed	
	Rev. Form U5 (06/2003)
REGULATORY ACTION DRP	
No Information Filed	
	Rev. Form U5 (06/2003)

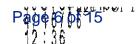
CUSTOMER COMPLAINT/ARBITRATION/CIVIL LITIGATION DRP

No Information Filed



Composite Information

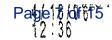
	770640	Individual Na	ne: LANCASTER, GARY L				
Individual CRD#:	2/30040						
	LANCASTER,	CADVIVNN					
a death to the second	LANCASTEK,	GART LINV		<u> </u>			
Social Security #:		REDACTED					
	04/25/1951						
Address	#204	NICOUVER WA 98660					
Reportable	The specified disclosure red Broker/Deale CRD: Reported disclosure management	The specified individual has no disclosure that qualifies under this section (i.e., lisclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.					
Statutory Disqualification Status	Clear						
Has Material Difference in Disclosure?	No		·.	Province of the State of Commission of			
Current CE Status	Satisfied			lOther			
Disclosure Counts	Criminal	Regulatory Action	Customer Complaint	10			
- Current	0	10		<u>IV</u>			
Disclosures			Customer Complaint	Öther			
Disciosure Counts	Criminal	Regulatory Action		10			
- Historical	0	10	10	,			
Disciosures	-						



The specified individual has no disclosure that qualifies under this section (i.e., disclosure required to be reported on Form U4 or Form U5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

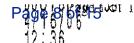
Current Disclosure Summary

Individual CRD#: 2730640 Individual Name: LANCASTER, GARY L



△No Current Employers Found Deficiencies With Current Employers

Individual CRD#: 2730640 Individual Name: LANCASTER, GARY L



Exam Information

Individual CRD#: 2730640 Individual Name: LANCASTER, GARY L

Exam	History Status	Status Date	Exam Date	Grade	Score	Window Begin Date	Window End Date
5 6	Official Result	05/03/1996	05/03/1996	PASSED	74		
57	Official Result	10/01/1998	10/01/1998	PASSED	74		
5/	Official Result	08/28/1998	08/28/1998	FAILED	j 58		1
563	Official Result	04/29/1996	04/29/1996	PASSED	74		Í
<u>503 </u>	Official Result	11/11/1998	11/11/1998	PASSED	88		1
202	Expired	05/18/1998			10		



⚠No Current Employers Found ⚠No Current CE Requirements.

Current CE Regulatory Element Status

Individual CRD#: 2730640_	Individual Name: LANCA	STER, GARY L
24 C C C C C C C C C C C C C C C C C C C		
Individual CE Information		
Current CE Status	SATIS	
CE Base Date	05/09	/1996
		kara Cara Labo Walasha Cara a sa a sa a sa a sa a sa a sa a s
Wext Requirement		
Window	Requirement Type	Session Type
05/09/2007-09/05/2007	Anniversary	101

Form Filing History

			William de contraction de contractio	
	Statement of the last of the l	محمد المالية المستحدث	LL. I ARECACTED	GARY L
Individual CRD#: 2	-₩504#A []'	naividuai kan	HE: LMMCKOILN	, (27-15/1 be
trum atieria tetat ("bella bar". ∠	/30040 <u>F</u>			
THE COURT OF THE PARTY OF THE P		The state of the s		

milia - Data	Form Type	Filing Type	Source
Filing Date 10/17/2005	IU5	Full termination	SLOAN SECURITIES CORP. (17930)
07/27/2005	104	Initial filing	SLOAN SECURITIES CORP. (17930)
01/03/2005	U5	Full termination	THE O.N. EQUITY SALES COMPANY (2936)
03/23/2003	U4	Initial filing	THE O.N. EQUITY SALES COMPANY (2936)
03/23/2004	105	Full termination	QUICK & REILLY, INC. (11217)
12/16/2002	U4	Relicense	QUICK & REILLY, INC. (11217)
12/09/2002	ius .	Full termination	PIPER JAFFRAY & CO. (665)
06/11/2002	U4	RA Transition Filing	PIPER JAFFRAY & CO. (665)
12/21/2001	U4	Amendment filing	PIPER JAFFRAY & CO. (665)
11/16/2000	U5	Full termination	U.S. BANCORP INVESTMENTS, INC. (17868)
09/22/2000	1U4	Relicense	PIPER JAFFRAY & CO. (665)
07/11/2000	1U4	Amendment filing	U.S. BANCORP INVESTMENTS, INC. (17868)
07/11/2000	U4	Amendment filing	U.S. BANCORP INVESTMENTS, INC. (17868)
07/05/1999	Ū4	Conversion Filing	U.S. BANCORP INVESTMENTS, INC. (17868)
07/05/1999	U5	Conversion Filing	BA INVESTMENT SERVICES, INC. (12965)
07/05/1999	U4	Conversion Filing	BA INVESTMENT SERVICES, INC. (12965)
07/05/1999	lus	Conversion Filing	STEPHENS INC. (3496)
07/05/1999	<u>1</u> U4	Conversion Filing	STEPHENS INC. (3496)
07/05/1999	The state of the s	Conversion Filing	FIRST INTERSTATE INVESTMENTS, INC. (17101)
07/05/1999		Conversion Filing	FIRST INTERSTATE INVESTMENTS, INC. (17101)

Registrations Summary

Individual Name: LANCASTER, GARY L Individual CRD#: 2730640

Current Firm(s):

Registrations Summary With Current Employers

△No Current Employers Found.

Prior Firm(s):

Registrations Summary With Prior Employers

	Firm	Start	End	IARD	CRD	SFG
Firm Name	CRD	Date	Date	Regs.	Regs.	Member
SLOAN SECURITIES CORP.	17930	07/2005	10/2005	N	N	IN
THE O.N. EQUITY SALES COMPANY	2936	03/2004	01/2005	Ν	N	N
OUICK & REILLY, INC.	11217	12/2002	12/2002	N	N	N
U.S. BANCORP PIPER JAFFRAY INC.	665	09/2000	09/2002	N	N	N
U.S. BANCORP INVESTMENTS, INC.	17868	04/1999	11/2000	N	N	N
BA INVESTMENT SERVICES, INC.	12965	08/1997	03/1999	N	JN.	N
STEPHENS INC.	3496	04/1996	12/1996	N	. JN	N
FIRST INTERSTATE	17101	03/1996	05/1996	N	-	N
INVESTMENTS, INC.	1					

Registrations with Prior Employers

Firm CRD #: 17930	Firm Name : SLOAN SECURITIES CORP.
BE ALLE	
Employment Start Date	07/27/2005
Employment End Date	10/17/2005
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	SLOAN SECURITIES CORP.

Regulatory Authority	Registration	Filing Date		Registration Status	f	Registration Status Note
NASD	GS	07/27/2005	10/17/2005	TERMED	07/29/2005	N
INAOU		07/27/2005			07/29/2005	Ν
		07/27/2005			07/29/2005	N
OR					07/29/2005	N
WA	AG	07/27/2005	10/17/2005	TERMED	07/29/2005	N

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Registrations with Prior Employers

Firm CRD # : 2936	Firm Name : THE O.N. EQUITY SALES COMPANY
Employment Start Date	03/23/2004
Employment End Date	01/03/2005
Reason for Termination	* Other
Termination Comment	TERMINATED WITH PARENT COMPANY
Firm Name at Termination	THE O.N. EQUITY SALES COMPANY

Regulatory Authority	Registration Category			Registration Status	Approval Date	Registration Status Note
NASD	lgs	03/23/2004	01/03/2005	TERMED	03/23/2004	IN
NASD	IR ·	03/23/2004	01/03/2005	TERMED	03/23/2004	N
KS	<u>AG</u>	03/23/2004	01/03/2005	TERMED	03/23/2004	N
OR	AG	03/23/2004	01/03/2005	TERMED	03/23/2004	IN.
WA	IAG	03/23/2004	01/03/2005	TERMED	03/23/2004	IN

Registrations with Prior Employers

Firm CRD #: 11217	Firm Name: QUICK & REILLY, INC.
Employment Start Date	12/16/2002
Employment End Date	12/19/2002
Reason for Termination	Voluntary · ·
Termination Comment	
Firm Name at Termination	QUICK & REILLY, INC.

Regulatory Authority	Registration Category	Filing Date	i	<u>Registration</u> Status	Approval Date	Registration Status Note
NASD	GS	12/16/2002	01/17/2003	TERMED	12/16/2002	IN
NASD	<u>IR</u>	12/16/2002	01/17/2003	TERMED	12/16/2002	N
NYSE	GS	12/16/2002	01/17/2003	TERMED	12/16/2002	N
NYSE	IIR	12/16/2002	01/17/2003	TERMED	12/16/2002	N
CA	AG	12/16/2002	01/17/2003	TERMED	12/16/2002	N
ID	AG	12/16/2002	01/17/2003	TERMED	12/16/2002	N
OR	AG	12/16/2002	01/17/2003	TERMED	12/16/2002	N
OR	RA	12/16/2002	01/17/2003	TERMED	12/16/2002	N
WA	AG	12/16/2002	01/17/2003	TERMED	12/16/2002	N

Registrations with Prior Employers

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Firm CRD #: 665 Firm Name : PIPER JAFFRAY & CO.

Employment	09/22/2000
Start Date	
Employment Er	1d 09/25/2002
Date	
Reason for	* Other
Termination	TO SECULATION DECALICE LIE MAC
Termination Comment	WE ARE TERMINATING GARY LANCASTER'S REGISTRATION BECAUSE HE WAS DISCHARGED FROM OUR AFFILIATE U.S. BANK FOR FAILURE TO FOLLOW U.S. BANK'S POLICIES AND PROCEDURES. IT IS NOT SALES PRACTICE RELATED.
Firm Name at	U.S. BANCORP PIPER JAFFRAY INC.
Termination	

Regulatory	Registration Category	Filing Da	ate	· ·	Registration Status	Approval Date	Registration Status Note
Authority	THE PERSON NAMED IN COLUMN TWO IS NOT THE OWNER.	09/22/20	000	12/09/2002	TERMED	09/22/2000	N
AMEX	- Commission of the Commission			12/09/2002		09/22/2000	N
NASD				12/09/2002		09/22/2000	N
NASD				12/09/2002		109/22/2000	IN
NYSE				12/09/2002		09/22/2000	N
NYSE				12/09/2002		09/22/2000	N
CA	<u>LAG</u>			12/09/2002		11/03/2000	IN
CA.		100/11/20	<u> </u>	12/09/2002	TEDMEN	09/22/2000	IN
ID		105/24/20	200	12/09/2002	TEDMED	09/22/2000	N.
OR	IAG.					09/22/2000	IN
WA	AG	09/22/20	000	12/09/2002	JIEKMEU	105/22/2000	\$1.20

Registrations with Prior Employers

Firm CRD #: 17868_	Firm Name : U.S. BANCORP INVESTMENTS, INC.
35 21 322	
Employment Start Date	04/01/1999
Employment End Date	11/07/2000
Reason for Termination	Voluntary
Termination Comment	
Firm Name at Termination	U.S. BANCORP INVESTMENTS, INC.

, -			I	[Trans.	Registration Status Note
X	07/05/1999	11/16/2000	TERMED	06/07/1999	N
				06/07/1999	N
				06/07/1999	N
				06/07/1999	Ν
	GS AG AG	Category 07/05/1999 AG 07/05/1999 AG 07/05/1999	Category Date GS 07/05/1999 11/16/2000 AG 07/05/1999 11/16/2000 AG 07/05/1999 11/16/2000	Category Date Status GS 07/05/1999 11/16/2000 TERMED AG 07/05/1999 11/16/2000 TERMED AG 07/05/1999 11/16/2000 TERMED	Category Date Status Date GS 07/05/1999 11/16/2000 TERMED 06/07/1999 AG 07/05/1999 11/16/2000 TERMED 06/07/1999 AG 07/05/1999 11/16/2000 TERMED 06/07/1999 AG 07/05/1999 11/16/2000 TERMED 06/07/1999

12/19/2005

Registrations with Prior Employers

Firm CRD #: 12965	Firm Name: BA INVESTMENT SERVICES, INC.
<u> </u>	
Employment Start Date	08/15/1997
Employment End Date	03/01/1999
Reason for Termination	* Other
Termination Comment	ADMINISTRATIVE TERMINATION.
Firm Name at Termination	BA INVESTMENT SERVICES, INC.

Regulatory Authority	Registration Category		Date	Registration Status	Approval Date	Registration Status Note
NASD	igs	07/05/1999	03/08/1999	TERMED	10/02/1998	N
NASD		07/05/1999	03/08/1999	TERMED	09/08/1997	N
NY5E	ITR	07/05/1999	10/09/1997	TERMED	09/08/1997	N ·
CA	AG	07/05/1999	03/08/1999	TERMED	09/08/1997	N
	P = 2.77	07/05/1999		The second secon	09/08/1997	IN
IOR .	AG	07/05/1999	A LONG TO THE OWNER OF THE PROPERTY OF THE PRO	TO THE REAL PROPERTY OF THE PERSON OF THE PE	09/08/1997	IN
WA	AG	07/05/1999		——————————————————————————————————————	09/08/1997	N

Registrations with Prior Employers

Firm CRD #: 3496 Fir	m Name : STEPHENS INC.
Employment Start Date	04/12/1996
Employment End Date	12/31/1996
Reason for Termination	* Discharge
Termination Comment	Lack of production.
Firm Name at Termination	STEPHENS INC.

Regulatory Authority	Registration Category	Filing Di			Registration Status	Approval Date	Registration Status Note
NASD	IIR	07/05/19	999	01/06/1997	TERMED	08/26/1996	N
AR	TAG	07/05/19	999	01/06/1997	TERMED	08/26/1996	N
OR .	1.40	A CONTRACTOR OF THE PARTY OF TH		01/06/1997	·····	08/26/1996	N

Registrations with Prior Employers

Firm CRD #: 17101	Firm Name: FIRST INTERSTATE INVESTMENTS, INC.
	Inn./4.0/4.005
Employment Start Date	03/18/1996

Employment End Date	05/31/1996
Reason for Termination	* Other
Termination Comment	POSITION ELIMINATED
Firm Name at Termination	FIRST INTERSTATE INVESTMENTS, INC.

10	Registration Category		i e		F - F - F	Registration Status Note
17-44-11-0-1-7	10	07/05/1999	06/28/1996	TERMED	05/09/1996	N
NASD OR			06/28/1996		05/09/1996	N

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